

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

Nineteenth meeting of the Plants Committee
Geneva (Switzerland), 18-21 April 2011

Review of Significant Trade in specimens of Appendix-II species

EVALUATION OF THE REVIEW OF SIGNIFICANT TRADE
[DECISION 13.67 (REV. COP14)]

1. This document has been prepared by the Secretariat.
2. At the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002) the Animals and Plants Committees sought and received a mandate to develop terms of reference for an evaluation of the Review of Significant Trade. These terms of reference were proposed and adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004) and can be found in Annex 1 to the Decisions of the Conference of the Parties in effect after its 15th meeting (CoP15, Doha, 2010). For ease of reference, they are reproduced in Annex 1 to the present document.
3. The terms of reference give the responsibility for overseeing the evaluation to the Animals and Plants Committees, with the help of an advisory working group comprising Committee members, Parties, the Secretariat and invited experts. The Secretariat is responsible for administering the evaluation and for reporting regularly on progress to the Committees. Whilst the evaluation was to commence after CoP14, there is no fixed time by which it must be concluded.
4. The Animals and Plants Committees discussed this matter during a joint meeting on 19 April 2008 and gave to the Secretariat, as administrators of the evaluation, some general guidelines on its conduct and the composition of the advisory working group.
5. At their 24th and 18th meetings respectively (AC24, Geneva, April 2009, and PC18, Buenos Aires, March 2009), the Animals and Plants Committees agreed on the composition of the advisory working group, as follows:
 - a) Animals Committee: Mr Thomas Althaus until CoP15 when a new representative would have to be appointed
 - b) Plants Committee: Mr Noel McGough

The above should be co-chairs for the group.

- c) Parties:

Africa

Democratic Republic of the Congo
Guinea
Madagascar
United Republic of Tanzania

Asia

China
Indonesia
Islamic Republic of Iran

Central and South America and the Caribbean

Guyana
Jamaica
Peru

Europe

Iceland
Russian Federation
One Party from the European Union

North America

United States of America

Oceania

Fiji

d) Invited experts:

IUCN
TRAFFIC
UNEP-WCMC
European Community
Canadian Scientific Authority Working Group

The Committees further agreed on a *modus operandi* for conducting the evaluation of the Review of Significant Trade which is contained in Annex 2 to the present document and which are meant as general guidelines and may be diverted from by the working group. Finally the Committees agreed on the following list of species, in order of priority, to be the subjects of the case studies referred to in paragraph 7 b) of the terms of reference:

	FAUNA	FLORA
1.	<i>Psittacus erithacus</i>	<i>Prunus africana</i>
2.	<i>Strombus gigas</i>	<i>Pericopsis elata</i>
3.	<i>Cuora amboiensis</i>	Madagascar, country study
4.	<i>Hippopotamus amphibius</i>	
5.	Madagascar, country study	

The Committees recommended that the Secretariat utilize the expertise of the advisory working group and the Animals and Plants Committees in identifying consultants with appropriate expertise to carry out the case studies. The Plants Committee also encouraged Parties to participate in the evaluation by carrying out case studies in collaboration with and under the direction of the advisory working group.

6. In June 2010, the Secretariat wrote to the Parties and invited experts nominated for the advisory working group by the committees to ask if they would be willing to be members of the group and would, if so, identify a focal point for this work. Reminders were sent in November 2010 to those that had not replied. The results are as follows:

a) Parties:

Africa

Democratic Republic of the Congo (No reply received)
Guinea (No reply received)

Madagascar (No reply received)
United Republic of Tanzania (Mr Dennis Ikanda)

Asia

China (Mr Meng Xianlin)
Indonesia (Mr Siti Nuramaliati Prijono)
Islamic Republic of Iran (Mr Asghar Mobaraki)

Central and South America and the Caribbean

Guyana (Ms Alona Sankar)
Jamaica (Mr Jane Cohen)
Peru (Srta. Fabiola Rocío Nuñez Neyra)

Europe

Iceland (No reply received)
Russian Federation (No reply received)
United Kingdom of Great Britain and Northern Ireland (Ms Alison Littlewood)

North America

United States of America (Ms Rosemarie Gnam)

Oceania

Fiji (Mr Aisake Batibasaga)

b) Invited experts:

- i) IUCN (Ms Thomasina Oldfield)
- ii) TRAFFIC (No reply received)
- iii) UNEP-WCMC (Mr Jon Hutton)
- iv) European Commission (Mr Marco Valentini)
- v) Canadian Scientific Authority Working Group (Ms Gina Schalk)

At AC24, the Animals Committee recommended that, if a country was unable to participate, a regional representative should nominate another country to maintain the appropriate balance in the membership of the advisory working group.

7. Since AC24 and PC18, and with the assistance of an intern, the Secretariat has made some progress in compiling background information in line with the *modus operandi* agreed by the committees. Undertaking the case studies, however, is dependent on external funding. The European Commission has made some financial support available for the exercise and the Secretariat will report orally at the present meeting on this point.
8. Concerning the membership of the advisory working group, in view of the lack of responses and the suggestion made by the Animals Committee reported in paragraph 6 of the present document, the Secretariat proposes that the regional representatives of Africa and Europe endeavour to encourage those Parties that at the time of writing the present document (February 2011) have not replied to the invitation to join the group, to do so prior to the present meeting, or, in conjunction with their colleagues in the Animals Committee, nominate other Parties to take their place.
9. The Committee is invited to address the issue of membership of the advisory working group raised in paragraph 8 and to take note of the content of the present document.

TERMS OF REFERENCE FOR AN EVALUATION OF THE REVIEW OF SIGNIFICANT TRADE

Objectives

1. The objectives of the evaluation of the Review of Significant Trade are to:
 - a) evaluate the contribution of the Review of Significant Trade to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a);
 - b) assess the impact over time of the actions taken in the context of the Review of Significant Trade on the trade and conservation status of species selected for review and subject to recommendations, taking into consideration the possible effects of these measures on other CITES-listed species;
 - c) formulate recommendations in view of the results and findings of the evaluation and the impact assessment; and
 - d) prepare a document on the evaluation of the Review of Significant Trade and the resulting conclusions and recommendations for consideration at the first appropriate meeting of the Conference of the Parties.

Process

2. The evaluation will commence immediately after the 14th meeting of the Conference of the Parties, contingent on the availability of sufficient funds to ensure its completion.
3. The Animals and Plants Committees will oversee the evaluation, which will be administered by the Secretariat. Consultants may be engaged to assist it in this regard.
4. A working group composed of members of the Animals and Plants Committees, Parties, the Secretariat and invited experts will be responsible for advising on the evaluation process, reviewing the findings of associated research and developing recommendations for wider consideration by the Parties.
5. The Secretariat will regularly report on the progress of the evaluation at meetings of the Animals and Plants Committees.
6. A final report, which may include proposed amendments to existing Resolutions or Decisions, or other recommendations, and which will incorporate the comments of the Animals and Plants Committees and of range States addressed in the report, will be submitted by the Chairmen of the Animals and Plants Committees for consideration at a future meeting of the Conference of the Parties. The Chairman of the Animals or Plants Committee may submit an interim report to the Standing Committee when appropriate and considered useful.

Content of the evaluation

7. The evaluation of the Review of Significant Trade should include the following activities:
 - a) assess:
 - i) the process used to select species for review (including the reliance on numerical data), and the species selected as a result;
 - ii) the process and means used to compile and review information concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), for the selected species (including communications with the range States), and the subsequent use of this information by the Animals and Plants Committees for the categorization of species and the issuance of recommendations;
 - iii) the types and frequency of recommendations made;
 - iv) the nature and rate of responses to recommendations, and problems identified;

- v) the use of the recommendations by range States as guidance for managing target species and other CITES-listed species with similar characteristics;
 - vi) the nature and scale of the support provided to range States for implementing the recommendations, including field projects, financial aid and assistance in building local capacities;
 - vii) the ongoing process to monitor and review the implementation of recommendations, having regard to differing points of view as to where this responsibility should lie; and
 - viii) the impacts of the process on other aspects of CITES implementation, including how problems identified in the course of the review but not directly related to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), were addressed;
- b) conduct case studies of a representative range of species and countries subject to recommendations to assess subsequent short- and long-term changes, and whether these could be attributed to the process, in:
- i) conservation status of the target taxa in the range States;
 - ii) trade volumes and patterns of the target taxa, considering trade involving the range States subject to recommendations, other range States and non-range States;
 - iii) production or management strategies for the target taxa;
 - iv) market developments of conservation relevance (such as shifts in supply or demand);
 - v) costs and benefits associated with the management of and trade in the target taxa (such as the effects of trade suspensions and export quotas, shift in trade to non-CITES species or increased illegal trade);
 - vi) protection status of the target taxa within range States, and regulatory measures outside range States;
 - vii) trade patterns, conservation status and management for other CITES-listed species that might be suitable 'substitutes' for the target taxa; and
 - viii) changes in conservation policies in range States; and
- c) analyse the information to assess the effectiveness, costs and benefits¹ of the Review of Significant Trade as implemented so far, by reference to the cost of the process and the time it takes, and identify means to improve the contribution it makes to the objectives of the Convention by reducing the threats to wild species.

¹ *The phrase 'effectiveness, costs and benefits' is intended to address issues such as whether or not the funds spent on the process give value for money comparable to that for other CITES activities, and whether the time-scale envisaged in the process is too long for species that are in rapid decline.*

MODUS OPERANDI FOR THE TERMS OF REFERENCE FOR THE EVALUATION OF THE REVIEW OF SIGNIFICANT TRADE

a) Assessment

Terms of reference	Proposed <i>modus operandi</i>
i) The process used to select species for review (including the reliance on numerical data), and the species selected as a result	The existing procedures will be described in writing by Secretariat staff in conjunction with the Animals and Plants Committee Chairs.
ii) The process and means used to compile and review information concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), for the selected species (including communications with the range States), and the subsequent use of this information by the Animals and Plants Committees for the categorization of species and the issuance of recommendations	With the assistance of an intern, the Secretariat will list the consultants used for recent reviews, detail the terms of reference that they were given and contact the consultants to ascertain the process and means that they used. The existing procedures for the review of this information and subsequent categorization of the species involved under paragraph k) of Resolution Conf 12.8 (Rev. CoP13) will be described in writing by Secretariat staff in conjunction with the Committee chairs.
iii) The types and frequency of recommendations made	This information has been provided in documents AC23/PC17 Doc. 8.1
iv) The nature and rate of responses to recommendations, and problems identified	The nature and rate of response from affected countries to recommendations made under the Review of Significant Trade and the problems identified will be determined from the Secretariat's correspondence archives by an intern.
v) The use of the recommendations by range States as guidance for managing target species and other CITES-listed species with similar characteristics	An assessment of this factor will be done for those case studies referred to in paragraph b) below.
vi) The nature and scale of the support provided to range States for implementing the recommendations, including field projects, financial aid and assistance in building local capacities	A compilation of the support provided by the Secretariat to range States subject to recommendations will be accomplished by an examination of the Secretariat archives by an intern. Affected range States could be requested to provide information detailing support provided by third parties (e.g. other countries, international donors, and industry groups).
vii) The ongoing process to monitor and review the implementation of recommendations, having regard to differing points of view as to where this responsibility should lie	Responsibility for the assessment of implementation is clearly set out in Resolution Conf. 12.8 (Rev. CoP13). The advisory working group can assess this.
viii) The impacts of the process on other aspects of CITES implementation, including how problems identified in the course of the review but not directly related to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), were addressed	Documents AC23/PC17 Doc. 8.1 list the nature and frequency of non-NDF recommendations made by the Committees. The advisory working group will reflect on the impact of these and the Review of Significant Trade, and on other aspects of CITES implementation.

b) Case studies

Terms of reference	Proposed <i>modus operandi</i>
<p>Conduct case studies of a representative range of species and countries subject to recommendations to assess subsequent short- and long-term changes, and whether these could be attributed to the process, in:</p> <ul style="list-style-type: none"> i) conservation status of the target taxa in the range States; ii) trade volumes and patterns of the target taxa, considering trade involving the range States subject to recommendations, other range States and non-range States; iii) production or management strategies for the target taxa; iv) market developments of conservation relevance (such as shifts in supply or demand); v) costs and benefits associated with the management of and trade in the target taxa (such as the effects of trade suspensions and export quotas, shift in trade to non-CITES species or increased illegal trade); vi) protection status of the target taxa within range States, and regulatory measures outside range States; vii) trade patterns, conservation status and management for other CITES-listed species that might be suitable 'substitutes' for the target taxa; and viii) changes in conservation policies in range States 	<p>The Committee will identify, in priority order, case studies which could usefully be undertaken.</p> <p>Parties may be willing to conduct these case studies, but otherwise consultants will to be hired to undertake these case studies. In line with paragraph c) in the fourth INSTRUCTS of Resolution Conf. 14.1, the Secretariat will welcome suggestions from the Committee about suitable contractors.</p>

c) Analysis

Terms of reference	Proposed <i>modus operandi</i>
<p>The information above should be analysed to assess the effectiveness, costs and benefits² of the Review of Significant trade as implemented so far, by reference to the cost of the process and the time it takes, and identify means to improve the contribution it makes to the objectives of the Convention by reducing the threats to wild species.</p>	<p>The Secretariat will keep the advisory working group informed of developments and the group is expected to work electronically. Nevertheless, subject to funding, the group could possibly meet for a day or two immediately before or after AC25 or PC19.</p>

² The phrase 'effectiveness, costs and benefits' is intended to address issues such as whether or not the funds spent on the process give value for money comparable to that for other CITES activities, and whether the time-scale envisaged in the process is too long for species that are in rapid decline.